

# **Schedule 55**

## **RISK MANAGEMENT /STATE CLAIMS BOARD**

**SEPTEMBER 26, 1989**

Nebraska Records Management Division  
440 South 8<sup>th</sup> Street, Suite 210  
Lincoln, NE 68508  
(402) 471-2559

**REQUEST FOR APPROVAL OF RECORDS RETENTION  
AND DISPOSITION SCHEDULE**

SCHEDULE NUMBER	55
AGENCY, BOARD OR COMMISSION	RISK MANAGEMENT/STATE CLAIMS BOARD
DIVISION, BUREAU OR OTHER UNIT	
Supersedes Edition of February 13, 1989	

<b>TO: STATE RECORDS ADMINISTRATOR STATE OF NEBRASKA</b>
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**PART I — AGENCY STATEMENT**

<p>In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.</p>	
SIGNATURE	<i>Thomas Norton Sewing</i>
TITLE	<i>State Risk Manager</i>
DATE	<i>9-18-89</i>

**PART II — ARCHIVAL APPROVAL**

<p>The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.</p>	
SIGNATURE	<i>Shirley L. Daniels</i>
STATE ARCHIVIST	
DATE	<i>21 Sept. 1989</i>

**PART III — APPROVAL BY STATE RECORDS ADMINISTRATOR**

<p>The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.</p>	
SIGNATURE	<i>Allen J. Beermann</i>
ADMINISTRATOR	
DATE	<i>Sept 26, 1989</i>

## **INSTRUCTIONS FOR USING THIS SCHEDULE**

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, **regardless of the media on which they reside**, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

### **DISPOSING OF RECORDS**

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

**Please remember to retain the blank form for future use.**

### **NON-SCHEDULED RECORDS**

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

### **SCHEDULE UPDATE**

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

### **QUESTIONS**

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division  
440 South 8th Street, Suite 210  
Lincoln, NE 68508-2294  
402-471-2559**

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## **SCHEDULE - 55 – RISK MANAGEMENT/STATE CLAIMS BOARD**

**NOTICE:** The following dispositions establish minimum retention periods. Files of unusual stature with the potential for ongoing reference may be retained for longer time periods at the discretion of the Risk Manager.

### **55-1 DOCKET SHEETS**

Record of name, address, amount of claim, action taken on each tort, miscellaneous and contract claim, etc.

**Transfer to the State Records Center 10 years after case is closed; dispose of 20 years after case is closed, subject to review by the State Archivist before disposal for possible accession.**

### **55-2 TORT, MISCELLANEOUS AND CONTRACT CLAIMS FILE**

Includes all records concerning torts, miscellaneous and contract claims against the state. May include original copies of Claim for Injury or Damage, Attorneys' petitions, disbursement documents having release statements on the back signed by the compliantant, etc.

**Transfer to the State Records Center 3 years after case is closed; dispose of 20 years after case is closed.**

### **55-3 VEHICLE ACCIDENT REPORTS (STATE FLEET)**

Reports filed on accidents involving state-owned vehicles.

**Dispose of 5 years after year of accident.**

### **55-4 WORKERS' COMPENSATION CASE FILES**

Files are partially duplicated by files held in the Worker's Compensation Court. May include First Report of Alleged Occupational Injury or Illness, Compensation and Expense Report, Medical Reports, First Treatment Medical Reports, correspondence, etc.

**Transfer to the State Records Center at agency discretion; dispose of 25 years after case is closed.**

### **55-5 WORKERS' COMPENSATION CASE SUMMARY CARD**

**(Obsolete July 1, 1984)**

Includes identifying, occupational, and injury information on each Workers' Compensation Case. May also include a record of all payments, voucher and warrant number, and the dates of payments.

**Immediately dispose of obsolete record.**

### **55-6 WORKERS' COMPENSATION CASE FILE DATA BASE**

Indicates particular information on Workers' Compensation Cases. May include name of individual, social security number, type of injury, payments, status of case, etc.

**MONTHLY AND QUARTERLY PRINTOUT: Dispose of when superseded.**

**ANNUAL PRINTOUT: Dispose of after 10 years provided audit has been completed.<sup>1</sup>**

**ON-LINE DATA: Retain permanently.**

**TAPE: Purge after 5 years.**

**55-7 CLAIMS EXPERIENCE**

Printouts from insurance companies or claims administrators representing the actual expenditures for their policies.

**Transfer to the State Records Center after 5 years; dispose of after 10 years.**

**55-8 INSURANCE POLICIES**

Record of all insurance policies for agencies of State Government. May include fidelity bonds, motor vehicle, property and any individual agency policies, specifications, winning bids, claim information, etc.

**Dispose of 20 years after policy expires.**

**55-9 INVENTORY CENSUS RECORDS**

Records that form the basis of insurance coverage and devises risk exposure.

**Dispose of 2 years after related policy is terminated provided audit has been completed.<sup>1</sup>**

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**NOTE**

1. These records may be disposed of after the required retention period, provided the audit has been completed with the audit report released and all related audit comments resolved. Check with the organization that performed the audit, and, if applicable, the Federal cognizant agency if there is a question whether resolution is complete.

# RECORDS DISPOSITION REPORT

<b>TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8<sup>TH</sup> STREET SUITE 210 LINCOLN, NE 68508-2294</b>	AGENCY
	DIVISION
	SUB-DIVISION

## REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

## OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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**SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.**

RMA 03006D

## VOLUME ESTIMATING GUIDE

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size .....	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size .....	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load .....	50 cubic feet